



COPY OF PAPERS
ORIGINALLY FILED

Attorney Docket No.: 019934-002510US

DECLARATION

RECEIVED

MAR 29 2002

As a below named inventor, I declare that:

My residence, post office address and citizenship are as stated below next to my name; I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural inventors are named below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: **INHIBITION OF CMV INFECTION AND DISSEMINATION** the specification of which ___ is attached hereto or X was filed on August 30, 2001 as Application No. 09/944,049 and was amended on _____ (if applicable).

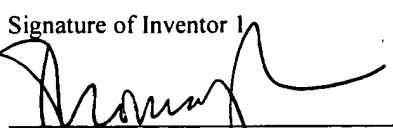
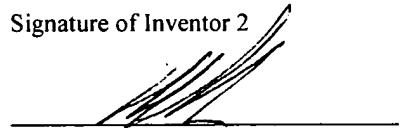
I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56. I claim foreign priority benefits under Title 35, United States Code, Section 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

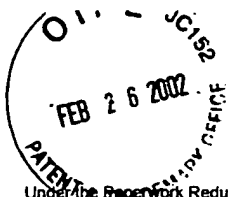
I hereby claim the benefit under Title 35, United States Code § 119(e) of any United States provisional application(s) listed below:

Application No.	Filing Date
60/229,365	August 30, 2000

Full Name of Inventor 1:	Last Name: SCHALL	First Name: THOMAS	Middle Name or Initial: J.
Residence & Citizenship:	City: Meno Park	State/Foreign Country: California	Country of Citizenship: United States
Post Office Address:	Post Office Address: 2050 Mill Avenue	City: Meno Park	State/Country: California Postal Code: 94025
Full Name of Inventor 2:	Last Name: PENFOLD	First Name: MARK	Middle Name or Initial: E.T.
Residence & Citizenship:	City: Mountain View	State/Foreign Country: California	Country of Citizenship: Australia
Post Office Address:	Post Office Address: 822 Calderon Avenue	City: Mountain View	State/Country: California Postal Code: 94041

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Signature of Inventor 1 	Signature of Inventor 2 
Thomas J. Schall	Mark E.T. Penfold
Date 1/29/02	Date 1/29/02



COPY OF PAPERS
ORIGINALLY FILED

Approved for use through 10/31/2002. OMB 0651-0035
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

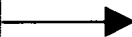
POWER OF ATTORNEY OR AUTHORIZATION OF AGENT	Application Number	09/944,049
	Filing Date	August 30, 2001
	First Named Inventor	Schall, Thomas J.
	Title	Inhibition of CMV Infection and Dissemination
	Group Art Unit	1645
	Examiner Name	
Attorney Docket Number		019934-002510US

TECH CENTER 1600/2900

MAR 18 2002

RECEIVED

I hereby appoint:

☒ Practitioners at Customer Number **20350** 

Place Customer Number Bar Code Label here

☐ Practitioner(s) named below:

Name	Registration Number

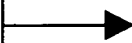
as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

TECH CENTER 1600/2900

MAR 29 2002

RECEIVED

Please change the correspondence address for the above-identified application to:

☐ The above-mentioned Customer Number.
OR
☐ Practitioners at Customer Number 

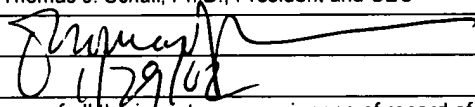
<input type="checkbox"/> Firm or Individual Name					
Address					
Address					
City		State		ZIP	
Country					
Telephone	303-571-4000	Fax	303-571-4321		

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

SIGNATURE of Applicant or Assignee of Record

Name	Thomas J. Schall, Ph.D., President and CEO
Signature	
Date	01/29/02

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below*.

☐ *Total of forms are submitted.

Burden Hour Statement: This form is estimated to take 3 minutes to complete. Time will vary depending upon the needs of the individual case. Any Comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.
DE 7053906 v1



COPY OF PAPERS
ORIGINALLY FILED

Attorney Docket No.: 019934-002510US

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) & 1.27(c)) - SMALL BUSINESS CONCERN

Applicant or Patentee: Schall et al.
Application or Patent No.: 09/944,049
Filed or Issued: August 30, 2001
Title: Inhibition of CMV Infection and Dissemination

I hereby declare that I am:

- ☐ the owner of the small business concern identified below:
☒ an official of the small business concern empowered to act on behalf of the concern identified below.

Name of Small Business Concern: ChemoCentrvx, Inc.
Address of Small Business Concern: 1539 Industrial Road
San Carlos, CA 94070

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention entitled Inhibition of CMV Infection and Dissemination by inventor(s) Thomas J. Schall, Mark E.T. Penfold described in:

- ☐ the specification filed herewith;
☒ Application No. 09/944,049, filed August 30, 2001;
☐ Patent No. _____, issued _____.

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights in the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern that would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

Name: _____
Address: _____
☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

Name: _____
Address: _____
☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Name of Person Signing: Thomas J. Schall, Ph.D.
Title of Person if Other than Owner: President and CEO
Address of Person Signing: 1539 Industrial Road
San Carlos, CA 94070

Signature: 

Date: 1/29/02

STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: Schall et al.

Application No./Patent No.: 09/944,049

Filed/Issue Date: August 30, 2001

Entitled: INHIBITION OF CMV INFECTION AND DISSEMINATION

ChemoCentryx, Inc. a corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of an undivided part interest

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To : _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

2. From: _____ To : _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

3. From: _____ To : _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8]

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

1/29/02
Date

[Signature]
Signature

Thomas J. Schall, Ph.D.

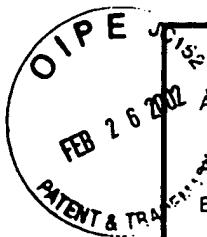
Typed or printed name

President and CEO

Title

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

DE 7053908 v1



TECH CENTER 1600/2900
TECH CENTER 1600/2900

MAR 1 8 2002

MAR 2 9 2002

RECEIVED
RECEIVED

RECEIVED
MAR 29 2002
TECH CENTER 1600/2800

Attorney Docket No.: 019934-002510US

ASSIGNMENT OF PATENT APPLICATION

JOINT

WHEREAS, Thomas J. Schall of 2050 Mill Avenue, Menlo Park, CA 94025; Mark E.T. Penfold of 822 Calderon Avenue, Mountain View, CA 94041; hereinafter referred to as "Assignors," are the inventors of the invention described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: Inhibition of CMV Infection and Dissemination

Date(s) of execution of Declaration:

Filing Date: August 30, 2001

Application No.: 09/944,049; and

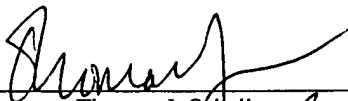
WHEREAS, ChemoCentryx, Inc., a corporation of the state of Delaware, located at 1539 Industrial Road, San Carlos, CA, 94070, hereinafter referred to as "ASSIGNEE," is desirous of acquiring an interest in the invention and application and in any U.S. Letters Patent and Registrations which may be granted on the same;

For good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these presents do assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this Assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.


Assignors further agree that they will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including patent applications and instruments of transfer, and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.

IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

Dated: 11/29/02


Thomas J. Schall

Dated: 11/29/02


Mark E.T. Penfold